

12/28/01
J1131 U.S. PTO

December 28, 2001

JENNIFER A. ALBERT
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FILE NO: 52493.000163

J1036 U.S. PTO
10/028284
12/28/01

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket Number: **52493.000163**

First Named Inventor: **Jonathan BOSWELL et al.**

Title: **SYSTEM AND METHOD FOR PRICING OF A FINANCIAL PRODUCT OR SERVICE USING A WATERFALL TOOL**

TO: **BOX PATENT APPLICATION**
Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached are the following for filing with the U.S. Patent and Trademark Office:

1. ☒ Fee Transmittal Form (original and duplicate)
2. ☐ Small Entity Status Claimed: ☐ Independent Inventor
☐ Small Business Concern
☐ Non-Profit Organization
☐ Statement Enclosed
☐ Statement Filed in Prior Application; Status Still Proper and Desired
3. ☒ Specification - Total Pages: 35 (Including Abstract)

CLAIMS AS FILED						
	Claims Filed	Basic Fee Claims	Extra	Rate		Amount
				Large Entity	Small Entity	
Total Claims	62	20	42	\$ 18.00	\$ 0.00	\$ 756.00
Independent Claims	5	3	2	\$ 84.00	\$ 0.00	\$ 168.00
First Presentation of Multiple Dependent Claims				\$ 280.00	\$ 0.00	\$ 0.00
BASIC FEE				\$ 740.00	\$ 0.00	\$ 740.00
TOTAL FILING FEE						\$ 740.00
Assignment Recordation Fee						\$ 0.00
TOTAL AMOUNT ENCLOSED						\$ 1,664.00

4. ☒ Drawings - Total Sheets: 14 (Fig(s). 1-14)

5. Oath or Declaration - Total Pages: 8

- a. ☐ Newly executed (original or copy)
☒ New (unexecuted)
- b. ☐ Copy from a prior application
(for continuation/divisional with Box 17 completed)
- i. ☐ DELETION OF INVENTOR(s):
Signed statement attached deleting inventor(s) named in prior application.

6. ☐ Application Data Sheet

7. ☐ CD-ROM or CD-R in duplicate, large table or Microfiche Computer Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. ☐ Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (two copies); or

ii. ☐ Paper Copy (identical to computer copy)

c. ☐ Statements verifying identity of above copies

9. ☒ Assignment (unexecuted)

10. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement with PTO-1449 and References

☐ Copies of Information Disclosure Statement Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard

15. ☐ Foreign Priority is Claimed as Follows:

☐ If Foreign Priority is Claimed, Certified Copy of the Above Priority Document(s) is Submitted Herewith

16. ☐ Nonpublication Request under 35 U.S.C. § 1222(b)(2)(B)(i). Applicant must attach Form PTO/SB/35 or its equivalent.

17. ☐ Other: _____

18. ☐ Continuation ☐ Divisional ☐ Continuation-in-Part of
Prior Application No.: _____ filed _____

☐ Incorporation By Reference (useable if Box 5b is marked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application papers.

☐ Complete Application Based on Provisional Application No.: _____
filed _____

19. Please address all correspondence to:

☒ CUSTOMER NUMBER 21967

☐ Intellectual Property Department
Hunton & Williams
1900 K Street, N.W.
Suite 1200
Washington, DC 20006-1109

20. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is as follows:

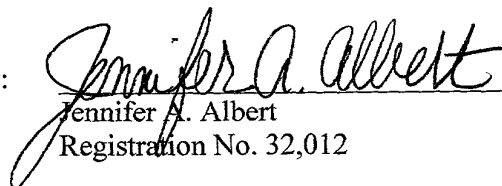
☐ The power of attorney is to:

☐ Please remove as power of attorney:

☐ Please add as power of attorney:

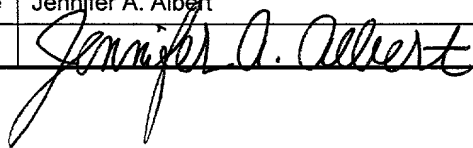
21. ☒ A check in the amount of \$ **1,664.00** is enclosed. In the event any variance exists between the amount enclosed and the Patent Office charges, please charge or credit any such variance to **Deposit Account No. 50-0206**.

Respectfully submitted,

By: 
Jennifer A. Albert
Registration No. 32,012

JAA/tlc
Enclosures

10334433001

FEE TRANSMITTAL BOX PATENT APPLICATION		Complete If Known																																							
		Application No.		To Be Assigned																																					
		Filing Date		December 28, 2001																																					
		First Named Inventor		BOSWELL et al.																																					
		Examiner Name		To Be Assigned																																					
		Group Art Unit		To Be Assigned																																					
Total Amount Of Payment (\$)		1,664.00		Attorney Docket No.		52493.000163																																			
METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																					
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to Deposit Account No. 50-0206 in the name of Hunton & Williams.				3. ADDITIONAL FEES																																					
				<table border="0" style="width: 100%;"> <tr> <td style="width: 80%;">Fee Description</td> <td style="width: 20%; text-align: right;">Fee Paid</td> </tr> <tr><td><input type="checkbox"/> Surcharge - late filing fee or oath</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Surcharge - late provisional filing fee or cover sheet</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> _____ Month Extension of Time</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Notice of Appeal</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Filing Brief in Support of Appeal</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Request for Oral Hearing</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Utility Issue Fee (or Reissue)</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Design Issue Fee</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Plant Issue Fee</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Petition to Commissioner</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Petition to Revive (Unavoidable)</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Petition to Revive (Unintentional)</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Petitions Related to Provisional Applications</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Submission of Information Disclosure Statement</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Filing Submission After Final Rejection</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Recording Each Patent Assignment Per Property</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Filing Request for Reexamination</td><td style="text-align: right;">\$</td></tr> <tr><td><input type="checkbox"/> Other (specify) _____</td><td style="text-align: right;">\$</td></tr> </table>				Fee Description	Fee Paid	<input type="checkbox"/> Surcharge - late filing fee or oath	\$	<input type="checkbox"/> Surcharge - late provisional filing fee or cover sheet	\$	<input type="checkbox"/> _____ Month Extension of Time	\$	<input type="checkbox"/> Notice of Appeal	\$	<input type="checkbox"/> Filing Brief in Support of Appeal	\$	<input type="checkbox"/> Request for Oral Hearing	\$	<input type="checkbox"/> Utility Issue Fee (or Reissue)	\$	<input type="checkbox"/> Design Issue Fee	\$	<input type="checkbox"/> Plant Issue Fee	\$	<input type="checkbox"/> Petition to Commissioner	\$	<input type="checkbox"/> Petition to Revive (Unavoidable)	\$	<input type="checkbox"/> Petition to Revive (Unintentional)	\$	<input type="checkbox"/> Petitions Related to Provisional Applications	\$	<input type="checkbox"/> Submission of Information Disclosure Statement	\$	<input type="checkbox"/> Filing Submission After Final Rejection	\$	<input type="checkbox"/> Recording Each Patent Assignment Per Property	\$
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Typed or Printed Name		Jennifer A. Albert			Registration No.		32,012																																		
Signature					Date		December 28, 2001																																		